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NUCLEAR WASTE MANAGEMENT PROGRAM PROCEDURE

NP 1-1 ORGANIZATION AND QA PROGRAM Revision 4

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1.0 Purpose and Scope

This procedure prescribes the Sandia National Laboratories (SNL) Waste Isolation Pilot Plant (WIPP) organizational structure, organizational interfaces, functional responsibilities, and levels of authority for achieving, maintaining, improving, assessing, and documenting quality in all activities under its responsibility. It also defines the requirements for the development, implementation, and continual improvement of the quality assurance (QA) program.

1.1 General

The SNL WIPP QA program applies to all activities in the SNL WIPP project. The program is structured to support nuclear waste management activities conducted for the U. S. Department of Energy (DOE), as well as waste management related activities outside that scope. Everyone who works either directly or indirectly for the SNL WIPP project shall comply with the requirements of this and other quality affecting procedures SNL designates applicable to their activities.

1.2 QA Requirements

The SNL WIPP QA requirements applicable to work activities shall be specified during the planning phase to ensure the development and implementation of effective controls so that items, processes, and services meet or exceed customer requirements. QA requirements shall be specified in work-specific planning documents, such as test plans and analysis plans.

1.2.1 QA Grading

The extent of management and QA controls applied to an item or activity will vary as a function of the degree of confidence needed to achieve the desired quality of the item or activity. The grading process provides the flexibility to design and implement controls that best suit the facility or activity.

The individual with primary responsibility for the project or task, such as the Principal Investigator (PI) Project Lead, or Task Lead shall determine and document the level of quality appropriate for the activity by following the grading process defined in SP 1-1 (QA Grading).

Acronyms and definitions for terms used in this procedure may be found in the NWMP Glossary located at the Sandia National Laboratories (SNL) NWMP On-line Documents web site.

2.0 Implementation Actions

2.1 Organizational Structure

The organizational structure of the SNL WIPP project and component activities is formally documented in a Program Description on file in the SNL WIPP Records Center. This information can also be accessed through the NWMP Web Site (www.nwmp.sandia.gov). This document defines internal and external organizational interfaces to include management, performance, and assessment responsibilities.

The Carlsbad Programs Group Manager has overall responsibility for the development and implementation of the SNL WIPP QA program. The Carlsbad Programs Group Manager is responsible for defining, integrating, and ensuring effective implementation of QA activities throughout the SNL WIPP project.

The SNL WIPP project is structured such that the individual performing the work is responsible for achieving and maintaining quality; line management is responsible for evaluating the quality; and independent assessors are responsible for independently assessing the quality of the work. Effective implementation of the SNL WIPP QA program is dependent upon the efforts of all levels of the SNL WIPP organization including the Carlsbad Programs Group Manager, SNL managers within the Carlsbad Programs Group, and other Sandia managers, staff, and contractors performing work.

2.2 QA Program

2.2.1 Responsibilities

2.2.1.1 SNL WIPP Managers Responsibilities

Managers shall provide the planning, organization, direction, control, resources, and support necessary to achieve their defined objectives, and ensure their products meet customer expectations in a timely and cost effective manner. This requires effective planning, performing, assessing, and continuous improvement of work activities. Management responsibilities concerning quality include:

- Procedural Control of Activities - developing, implementing, and maintaining policies, plans, and procedures that control the quality of the work consistent with applicable upper-tier requirements.
- Training - ensuring adequate technical and QA training is provided to personnel performing quality affecting activities.
- Compliance - ensuring compliance with applicable regulations and requirements.
- Records - ensuring personnel adhere to applicable procedures concerning the generation, identification, control, and protection of QA records.
- Stopping Work - exercising the authority and responsibility to stop unsatisfactory work.
- Corrective Action - identifying, controlling, investigating, reporting, correcting, and documenting quality problems, and conditions adverse to quality in a timely manner.
- Personnel Management - identifying and defining organizational and individual responsibilities and authority for achieving and verifying quality, and ensuring each employee understands their responsibilities concerning the quality of their own work and for reporting potential or

existing conditions adverse to quality to responsible management for evaluation and action. Management empowers employees by delegating authority and decision making to the lowest appropriate level in the organization.

- Assessing Quality - management is responsible for the achievement and assessment of quality within their area.
- Continuous Improvement - implementing actions to promote the continuous improvement of quality related processes.
- Control of internal and external interfaces.

2.2.1.2 SNL WIPP QA Team Responsibilities

The SNL WIPP QA Team supports line management and individuals in understanding, interpreting, and meeting QA requirements. The SNL WIPP QA Team shall have sufficient authority, access to work areas, and organizational freedom to identify quality problems, recommend solutions, verify implementation of solutions, and assure that unsatisfactory conditions are controlled until proper disposition has occurred.

2.2.1.3 SNL WIPP QA Team Lead Responsibilities

The SNL WIPP QA Team Lead shall:

- have direct access to management at a level where appropriate action can be effected.
- be sufficiently independent from cost and schedule considerations.
- have the organizational freedom to communicate with other management positions.
- have no other assigned responsibilities unrelated to the QA program that would prevent appropriate attention to QA matters.

The SNL WIPP QA Team Lead, while assuming final authority and responsibility, may delegate the following QA management tasks:

- Scheduling and conducting QA assessments.
- Maintaining liaison with customers and subordinate organizations.
- Preparing and reviewing procedures which implement SNL WIPP planning documents.
- Reviewing and approving QA assessments.
- Reviewing and approving supplier and subcontractor QA planning documents.
- Tracking quality indicators, performing trend analyses, and reporting QA problems.
- Processing documentation concerning conditions adverse to quality.
- Preparing a procedure matrix identifying where upper-tier QA requirements are implemented in SNL WIPP QA procedures, and keeping this matrix current.
- Responding to changes in upper-tier QA requirements by reviewing applicable SNL WIPP QA procedures, and updating them as necessary.

2.2.1.4 Individual Responsibilities

Each individual is responsible for the quality of his/her work. All individuals are responsible for identifying potential and existing conditions adverse to quality, and reporting them through the SNL WIPP Corrective Actions program outlined in NP 16-1 (Corrective Action).

2.2.2 Communication

All management levels shall establish and maintain channels of communication to provide timely dissemination of quality performance information addressing issues such as:

- the development and implementation status of the QA program,
- the status and resolution of significant quality problems,
- lessons learned from significant quality problems, and adverse condition,
- quality management practices and improvements, and trend analysis results.

2.2.3 Management Assessments

2.2.3.1 General

Management assessments of the SNL WIPP QA program shall be conducted periodically, and reported at least annually. The purpose of these assessments is to evaluate the implementation of QA program elements and their effectiveness in meeting customer requirements and expectations for quality, and to identify specific areas of opportunity for management to improve the QA process. Management assessments shall emphasize the use of human and material resources to achieve organizational goals and objectives.

Management assessments should include an evaluation of the effectiveness of the overall management system in meeting strategic goals, and identification and resolution of both systemic and management issues, citing specific strengths and weaknesses affecting the organization's ability to improve quality.

Management assessments shall include direct participation by the Carlsbad Programs Group Manager through the involvement and implementation of the assessment process.

2.2.3.2 Management assessments should address both management and QA considerations of the following:

- Strategic planning
- Organizational interfaces
- Use of performance indicators
- Staff training and qualifications
- Supervisory oversight and support
- Employee knowledge, motivation, and morale
- Atmosphere of creativity and improvement
- Amount of mutual trust and communication among workers and organizations

2.2.3.3 Documentation

A written report recommending actions to improve the process shall be submitted to the Carlsbad Programs Group Manager, with the results disseminated to all levels of management in the organization. A copy of the report will be sent to the SNL WIPP Records Center.

2.2.4 Resolution of QA Disputes

2.2.4.1 General

Differences of opinion involving the definition and implementation of QA program requirements will be brought to the attention of the SNL WIPP QA Team Lead and the responsible manager and, if not resolved, elevated to successively higher levels of management. The goal, however, should be to resolve QA related disputes at the lowest possible level without involving upper management unless necessary.

2.2.4.2 Dispute Process

The QA dispute initiator should first contact their QA line representative to attempt clarification/resolution of the dispute. If the initiator is not satisfied with the response provided by their line QA representative, the initiator may request resolution from the SNL WIPP QA Team Lead who shall provide resolution of the dispute through coordination with the highest organizational levels deemed appropriate, up to the Carlsbad Programs Group Manager.

2.2.4.3 Documentation

The SNL WIPP QA Team Lead will determine if the scope, magnitude, and possible effects of the dispute warrant documentation, and if so, ensure that a suitable record is submitted to the SNL WIPP Records Center.

2.2.5 Readiness Reviews

Readiness reviews are conducted at management’s discretion to determine through examination and evaluation of objective evidence if prerequisites for achieving program objectives have been met before major planned or scheduled work is started.

3.0 Records

The following QA records, generated through implementation of this procedure, shall be prepared and submitted to the SNL WIPP Records Center in accordance with NP 17-1 (Records):

<u>QA Record</u>	<u>Preparer</u>	<u>Records Submitter</u>
• Organizational Structure Description	SNL WIPP QA Team Lead or delegate	SNL WIPP QA Team Lead or delegate
• QA Dispute Records	SNL WIPP QA Team Lead or delegate	SNL WIPP QA Team Lead or delegate
• Program Description	SNL WIPP QA Team Lead or delegate	SNL WIPP QA Team Lead or delegate
• Management Assessment Reports	SNL WIPP QA Team Lead or delegate	SNL WIPP QA Team Lead or delegate

4.0 Appendices

Not Applicable. No forms or flow charts are used in conjunction with this procedure.

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